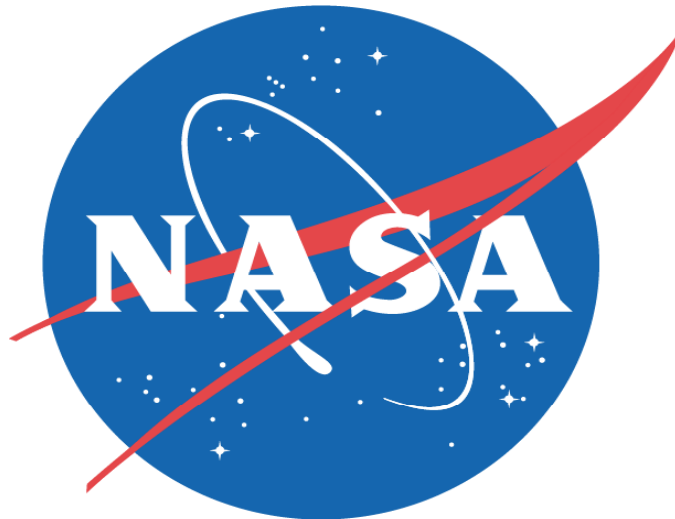


Responsible Office: Code FE/ Education Division
Subject: NASA Education Program – Contracts and Grants



NASA's Education Program – Contracts and Grants

Office Work Instruction

Original Approved by: _____

Vicki A. Novak
Associate Administrator
Office of Human Resources and Education

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Subject: NASA Education Program – Contracts and Grants

DOCUMENT HISTORY LOG

Status (Baseline/ Revision/ Canceled)	Document Revision	Effective Date	Description
Baseline		December 10, 1999	

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1. Purpose

The purpose of this HQ OWI is to establish and define the steps to be followed when the Office of Human Resources and Education, Education Division solicits and selects partners in NASA Education Program activities.

The Associate Administrator for the Office of Human Resources and Education (OHRE) is responsible for maintaining this document. The controlled version resides on the World Wide Web (WWW) via the ISO 9000 document library at <http://hqiso9000.hq.nasa.gov>.

2. Scope and Applicability

- 2.1 Scope. This HQ OWI describes the process used by the NASA Education Program to solicit and select partners in NASA education activities. These partners can be grantees, contractors, and/or vendors. The process begins with receipt of proposals, both unsolicited and solicited. Example solicitation instruments include a Program Announcements, Cooperative Agreement Notices(CAN), and/or Requests for Proposals (RFPs). The process includes the following:

- Receiving, evaluating, and selecting proposals to fund;
- Preparing procurement package inputs and distributing resource authority documents to accomplish awards; and
- Monitoring the procurement process, evaluating awardee performance, and renewing or completing the activity.

Solicitation initiators from the Education Division, Office of Human Resources and Education (Code FE) conduct this process regularly, primarily with unsolicited proposals, but with some formal solicitations on a periodic or as needed basis.

The solicitation initiator is usually an education program officer, but could be a division director, or assistant director. The program analyst provides administrative support.

- 2.2 Applicability. This work instruction for soliciting and selecting partners in NASA Education Program activities through the grants and contract process applies to Code FE.

3. Definitions

- 3.1 ADFA. Assistant Director for Administration, Code FE, OHRE; responsible for overseeing budget process for the NASA Education Program.

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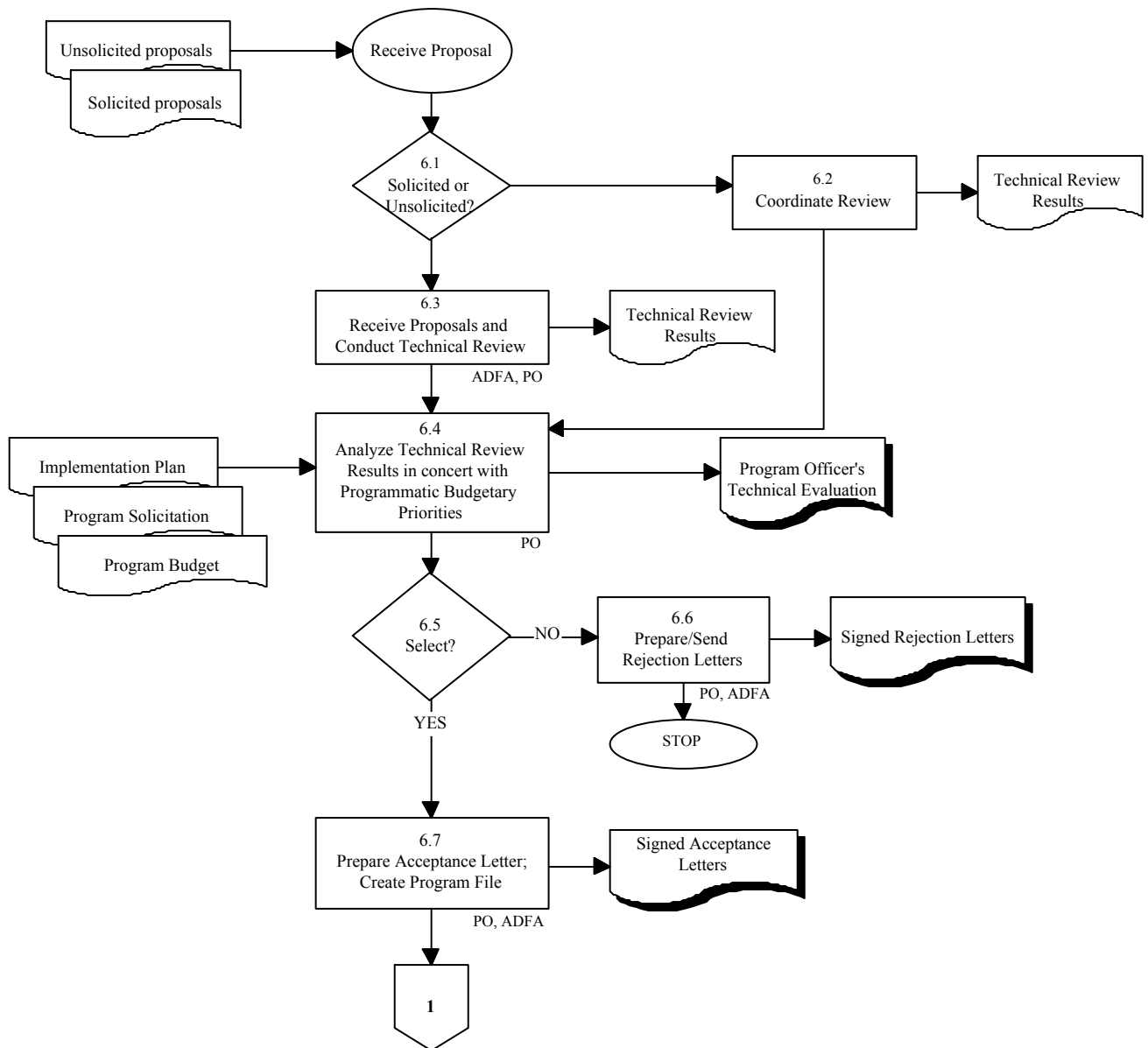
- 3.2 CAN. Cooperative Agreement Notice; type of solicitation used when the resulting awards will be cooperative agreements, guaranteeing interaction between NASA and awardee.
- 3.3 External education community. Traditional education community, such as K-12, higher education institutions, and non-profit organizations involved in education; all are non-NASA.
- 3.4 GSFC. NASA Goddard Space Flight Center; functional responsibility for the processing of HQ grants and contracts resides at GSFC.
- 3.5 HQ. NASA Headquarters.
- 3.6 NF506. NASA Form 506, Resources Authority Warrant; authorizes the transfer of funds from one NASA installation or office to another.
- 3.7 NHQ163. Procurement request; commits funding for a contract or small purchase.
- 3.8 PA. Program Analyst, Code FE; responsible for the daily operation of the NASA Education Program budget.
- 3.9 PO. Program Officer, Code FE; responsible for the development, management, policy, oversight, and evaluation of programs, projects, and activities in support of the NASA Education Program; individual program officers are responsible for specific programmatic areas such as student, teacher/faculty preparation and enhancement, curriculum support and dissemination, educational technology, systemic reform, research and development.
- 3.10 Program Announcement. Type of solicitation most often used by the Education Division; less formal than a CAN or RFP, and usually tied to a specific NASA Education activity, such as the Graduate Student Researchers Program.
- 3.11 RFP. Request for Proposals; type of solicitation used when the resulting award will be a contract, requiring the delivery of goods or services to NASA.

4. **Reference Documents**

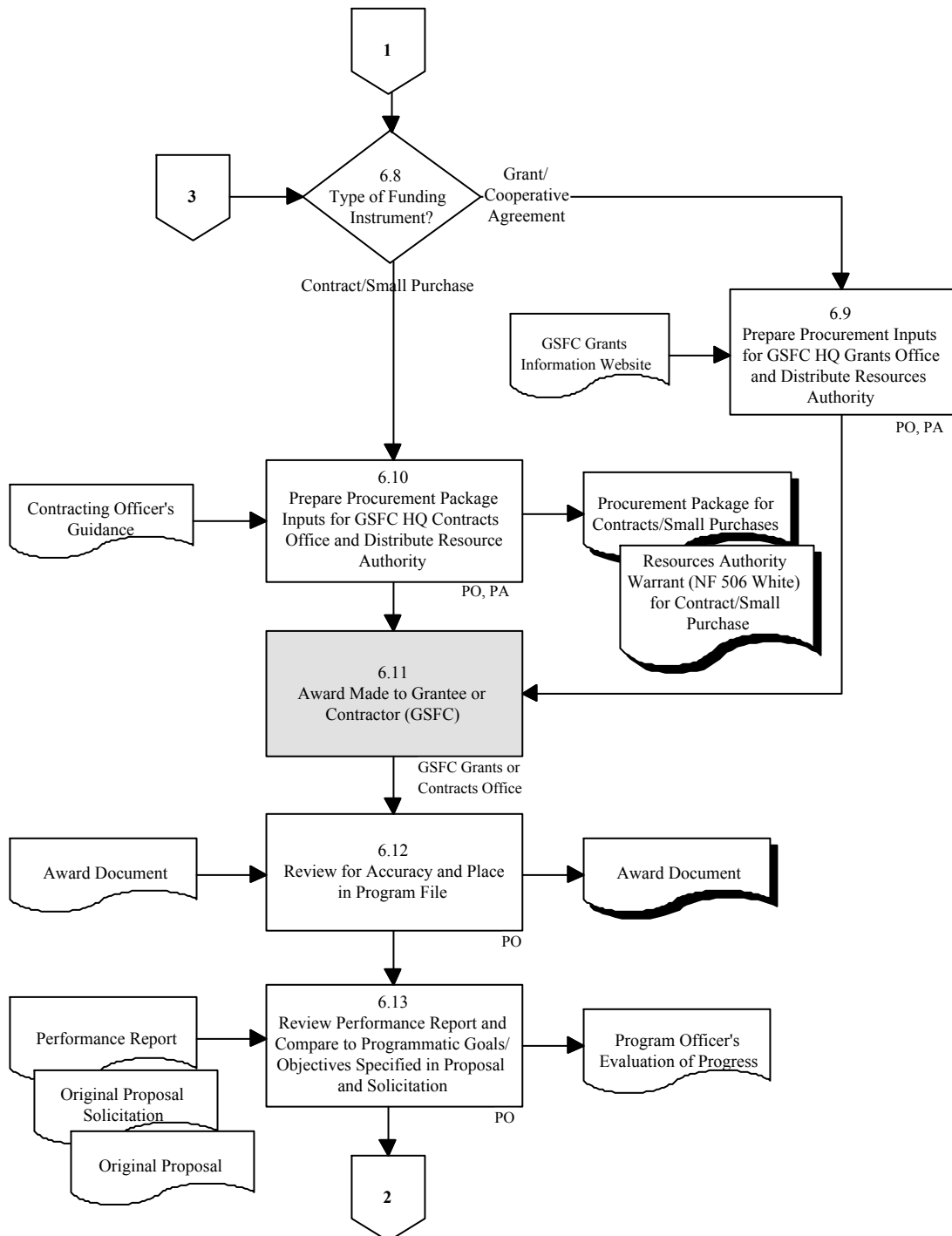
- 4.1 NASA Implementation Plan for <http://education.nasa.gov/implan/exec.html>
- 4.2 NPG 5800.1, NASA Grant and Cooperative Agreement Handbook (<http://ec.msfc.nasa.gov/hq/grcover.htm>)
- 4.3 NASA FAR Supplement (<http://www.hq.nasa.gov/office/procurement/regs/nfstoc.htm>)

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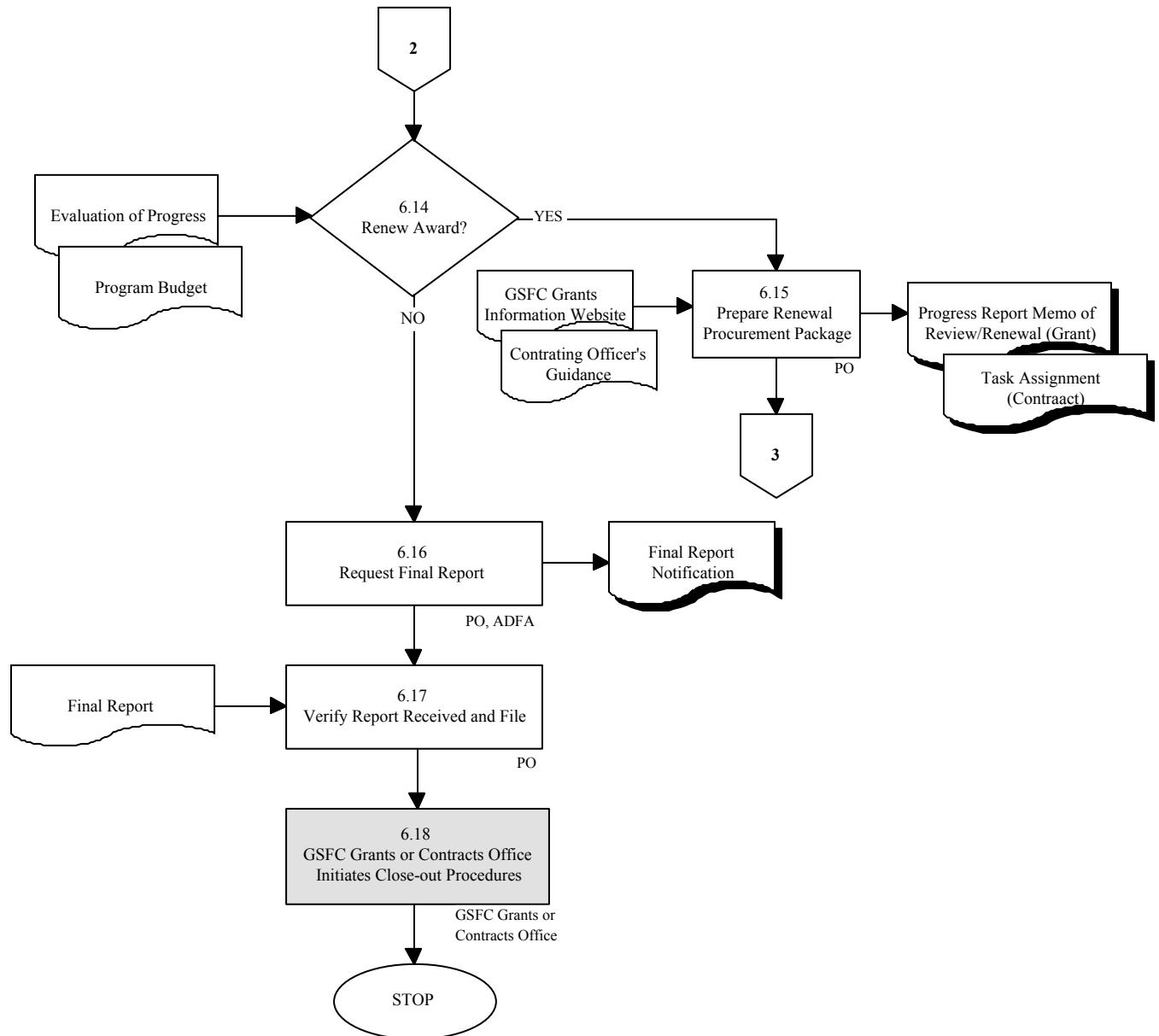
5. Flowchart



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6. Procedure

Step	Actionee	Action
6.1	ADFA	The Education Division receives proposals from the external education community. These proposals can be unsolicited or sent in response to a formal solicitation (CAN, RFP, program announcement). Is this a solicited or unsolicited proposal? If solicited, go to Step 6.2; in unsolicited, go to Step 6.3.
6.2	PO	If solicited, PO responsible for specific program solicitation receives proposals and coordinates review according to criteria established in the solicitation. Once review is completed, go to Step 6.4.
6.3	ADFA, PO	The ADFA assigns to a PO for action, based on the content of the proposal and the action is tracked through the HATS system. The PO arranges for the proposal(s) to be reviewed for technical merit by external or internal program officers.
6.4	PO	PO analyzes technical review results in concert with the program solicitation if a solicited proposal, programmatic priorities (as outlined in the NASA Implementation Plan for Education), and the Division's budget. Based on this analysis, PO writes a technical evaluation of the proposal.
6.5	PO	Makes a decision on selection. Note: if a solicitation, PO will make a recommendation on selection to a selecting official identified in the solicitation.
6.6	PO, ADFA	If the proposal is not selected, the PO will prepare, sign, and send rejection letter. The ADFA provides guidance on format and content, including an opportunity for the proposer to obtain feedback if desired. Copies are maintained in the FE chron file and in the PO programmatic files for reference.
6.7	PO, ADFA	If the proposal is selected, the PO will prepare, sign, and send an acceptance letter. The ADFA provides guidance on format and content.
6.8	PO	The PO determines the procurement documentation requirements based on the type of funding instrument to be used (grant, cooperative agreement, contract, small purchase). Note: the determination of grant vs. contract is

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- 6.9 PO, PA made at the time a solicitation is developed, in consultation with the Office of Procurement. Unsolicited proposals generally are awarded as grants. If the funding instrument is a grant or cooperative agreement, the PO prepares the procurement package inputs as required by the HQ Grants Office at GSFC. These include for example, original proposal and budget, technical evaluation, copy of solicitation or justification for acceptance of unsolicited proposal. Current requirements are found at the GSFC Grants Information Homepage (<http://genesis.gsfc.nasa.gov/grants/grants.htm>).
- PO gives package to the PA who prepares the resources authority warrant (NF 506 white) to transfer the funds from HQ to GSFC. The PA sends the entire package to the HQ Grants Office at GSFC.
- 6.10 PO, PA If the funding instrument is a contract or small purchase, the PO prepares the procurement package inputs as required by the HQ Contracts Office at GSFC. This includes for example, proposal, technical review, task assignment, and any additional information as required by the contracting officer.
- This package is given to the PA who prepares the procurement request (NHQ 163) and the resources authority warrant (NF 506 white). The PA sends the entire package to the HQ Contracts Office at GSFC.
- 6.11 GSFC Grants or Contracts Office Makes the award to the proposer and sends copy to PO.
- 6.12 PO The PO receives a copy of the award document from the GSFC grants or contracts office, reviews for accuracy (amount of funding, period of performance, institution, etc.). The PO resolves any discrepancies with the award documentation with the relevant GSFC office via telephone, email, other correspondence, or meetings.
- 6.13 PO Grantees are required, under the terms of their award, to submit annual performance reports 60 days before the anniversary date of the award. Guidance is found in NPG 5800.1, Grant and Cooperative Agreement Handbook. Contractor annual reporting requirements are detailed in the contract.

The PO receives and reviews the performance report and

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- compares with programmatic goals and objectives specified in the original proposal and solicitation, if a solicited proposal. After this review, the PO writes a memo evaluating the progress of the grantee/contractor.
- 6.14 PO Using this evaluation and the program's budget, the PO makes a decision concerning renewal of the award.
- 6.15 PO If the program is to be renewed and is a grant, the PO prepares the documentation for renewal as outlined by the GSFC grants or contracts offices, including, for example, the progress report memo of review/renewal, and returns to Step 6.9. Current requirements for grants are found at the GSFC Grants Information web site (<http://genesis.gsfc.nasa.gov/grants/grants.htm>) and
- If the program is a contract, the PO prepares the documentation for renewal as provided by the contracting officer, including, for example, a revised task assignment, and returns to Step 6.10.
- 6.16 PO, ADFA If the program is not to be renewed, the PO requests a final report by notifying the awardee (email, phone call, or letter). The ADFA provides guidance on format/content of such notification to the PO.
- Guidance on the content of the final report for a grant is found in NPG 5800.1. Contract final reporting requirements are detailed in the contract.
- 6.17 PO Verifies that final report is received and files in program file. If no final report is received from grantee or contractor, GSFC Grants or Contracts offices will pursue through their standard closeout procedures.
- 6.18 GSFC Grants and Contracts Offices Initiate closeout procedures.

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7. Quality Records

<i>Record Identification</i>	<i>Owner</i>	<i>Location</i>	<i>Media Electronic/ Hard Copy</i>	<i>Schedule and Item Nos. NPG 1441.1</i>	<i>Retention/ Disposition</i>
Program Officer's Technical Evaluation	Code FE PA	Code FE Files	Hard Copy	Schedule 5, Item 37A	Retire to FRC 2 years after completion of grant; destroy when 6 years, 3 months old.
Signed Rejection Letters	Code FE PO	Code FE Files	Hard Copy	Schedule 7, Item 9B2	Retire to FRC when 1 year old, destroy when 5 years old.
Signed Acceptance Letters	Code FE PO	Code FE Files	Hard Copy	Schedule 7, Item 9B1	File with related case file (grant or contract); destroy accordingly.
Procurement Package for Grants/Cooperative Agreements	Code FE PA	Code FE Files	Hard Copy	Schedule 5, Item 37A	Retire to FRC 2 years after completion of grant; destroy when 6 years, 3 months old.
Resources Authority Warrant (NF 506 White) for Grant/ Cooperative Agreement	Code FE PA	Code FE Files	Hard Copy	Schedule 7, Item 21D2	Destroy when no longer needed or 2 years after close of fiscal year, whichever is sooner.
Procurement Package for Contracts/Small Purchases	Code FE PA	Code FE Files	Hard Copy	Schedule 5, Item 37A	Retire to FRC 2 years after completion of grant; destroy when 6 years, 3 months old.
Resources Authority Warrant (NF 506 White) for Contracts/Small Purchases	Code FE PA	Code FE Files	Hard Copy	Schedule 7, Item 21D2	Destroy when no longer needed or 2 years after close of fiscal year, whichever is sooner.
Award Document	Code FE PO	Code FE Files	Hard Copy	Schedule 5, Item 37A	Retire to FRC 2 years after completion of grant; destroy when 6 years, 3 months old.
Progress Report Memo of Review/Renewal (Grant)	Code FE PA	Code FE Files	Hard Copy	Schedule 5, Item 37A	Retire to FRC 2 years after completion of grant; destroy when 6 years, 3 months old.
Task Assignment (Contract)	Code FE PA	Code FE Files	Hard Copy	Schedule 5, Item 1F	Destroy upon termination, completion of contract, or when no longer needed whichever is

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					sooner.
Final Report Notification	Code FE PO	Code FE Files	Hard Copy	Schedule 5, Item 37C2	Destroy when 2 years old.